



Administration and Invigilation of Tests Policy

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Overview

Robust and stringent invigilation is a fundamental aspect of delivering valid, reliable, and fair end-point assessments. Professional Assessment Ltd (PAL)'s policy outlines our approach to test invigilation and describes the behaviours we require from both the invigilators and those apprentices participating in 'test' assessments. A contravention of this policy is likely to be subject to PAL's maladministration and malpractice policy.

Apprenticeship assessment plans use the terms, knowledge test, on-demand test, situational judgement test, test, and exam, all of which, for this policy are defined as a 'test'. They may be multiple choice, short answer, long answer, and multiple choice, but all are set in exam room conditions and must be invigilated. This policy applies to all end-point assessments where there is a test or examination.

PAL will review this policy in light of any guidance or requirements from the regulator Ofqual and any specific requirements as detailed in an apprenticeship standard assessment plan that PAL is approved to offer.

Policy Scope

Invigilation plays a vital role in ensuring that tests/examinations are conducted in a fair and appropriate manner. Invigilators should familiarise themselves with this policy and specifically the invigilators' responsibilities. This policy applies to all examinations, including remote -based testing and those arranged for apprentices' with reasonable adjustments.

This policy should be read in conjunction with PAL's conflict of interest, Data and GDPR, reasonable adjustments and special consideration, complaints and appeals and maladministration and malpractice policies.

Who is this Policy for?

PAL assessors who undertake invigilation; employers; apprentices¹; providers; PAL Quality team; EPA Managers; Quality Manager; Directors (and any non-PAL person) approved as an invigilator and employers and providers approved as a centre. Providers and employers should note the restrictions to invigilation.

Purpose

The purpose of this policy is to:

- Establish the roles and responsibilities of the invigilation function
- Establish resources and environmental requirements regarding the delivery and invigilation of tests
- Detail quality arrangements and protocols of invigilation including security and risks regarding the planning, delivery, recording, printing, handling, and storage of tests
- Outline what constitutes non-compliance and/or malpractice by apprentices or invigilators during testing

Who can Invigilate?

It is the responsibility of PAL as an EPAO to assign and deploy suitably trained and experienced personnel to act as invigilators and in all exceptional cases, invigilators are PAL personnel.

The role of the invigilator is to ensure:

- Equality of Opportunity enabling Apprentices to demonstrate their abilities
- The security of assessments before, during and after completion
- Prevention of potential collusion, cheating, plagiarism (maladministration/malpractice)

It is essential that all invigilators receive appropriate training and briefing prior to undertaking any invigilation of assessments to ensure they are aware of the requirements and regulations governing the conduct of external assessment. PAL's invigilation and training addresses what is required of the invigilator, pre a test/examination/during a test/examination and post-test/examination.

¹ PAL uses the term apprentice and learner, they are the same person

Restrictions to invigilation

The following individuals may not act as an invigilator in any external assessment activity as these would constitute a conflict of interest:

- Relatives and friends of any Apprentice
- Tutors/trainers of the apprentice*
- Line Manager of the apprentice*

The above guidance and this policy correlates with IfATE's invigilation guidance detailed in all new assessment plans and applicable to all assessment plans.

Anyone acting as a reader, writer, interpreter, or technical assistant for a particular assessment cannot also act as an invigilator for that assessment.

At the assessment planning meeting the assigned assessor will make all parties aware of the company's invigilation policy and procedure and PAL's preferred invigilation option is that PAL personnel (assessors) undertake this role, but there will be some circumstances where either a provider representative (not the direct trainer/tutor if at all possible) or employer representative (not the apprentice's line manager if at all possible) will support the invigilation process this could be the form of helping an apprentice set up an online assessment, or acting as a second invigilator.

Any person involved in test delivery, regardless of who they are employed by, must abide by this policy and all other PAL policies in relation to assessment delivery, including the invigilation checklist, conflicts of interest, and malpractice and maladministration.

Any infringements of this policy will be judged as malpractice and will result in disciplinary action, sanctions, and possible dismissal, where it is proven that the actions of a PAL member have undermined the integrity of the tests and whose actions have placed the company's and the standards reputation at risk. Where such infringements have been the result of non-PAL personnel, PAL will refer to our maladministration and malpractice and sanctions policy.

All invigilators are required to verify that they have read, understood, and will comply with the test/invigilation procedures, as part of their induction and ongoing training. Anyone supporting the test process will also receive be briefed and have access to relevant materials and information.

*It is best practice to avoid the direct tutor/trainer who prepared the apprentice (learner) for assessment and/or the apprentice's line manager acting as a sole invigilator. PAL recognises that this scenario may not always be avoided, and, in such circumstances, the provider/employer will be required to apply to PAL directly for permission and asked to provide mitigation approaches to ensure strict and reliable protocols are maintained. Additionally, PAL's Quality Manager, or in their absence the EPA Managers will establish why no PAL personnel are able to undertake the invigilation.

All assessments undertaken in these circumstances will be subject to 100% sampling.

Invigilator Skills and Experience

Invigilators must be approved by PAL and have the following skills and experience to be able to invigilate:

- Experience of using cloud-based technology
- Reasonable administrative skills
- The checks and approvals are carried out by PAL's Quality Manager, and all invigilators will receive training from PAL

Where an employer or provider is providing invigilation services, they will complete an invigilation service level agreement, and anyone involved in the invigilation will complete an invigilation declaration, which must be returned to PAL for checking and clearance by the EPA team under the supervision of the Business Operations Director.

Invigilator Responsibilities

- Attend training sessions and complete development activities
- Remain vigilant and attentive when invigilating assessments
- Ensure that they have read, comprehended the administration and Invigilation of tests policy and Invigilation guidance manual
- Treat all apprentices fairly and without discrimination
- Undertake no action that would confer an advantage or disadvantage upon any student
- Maintain the security and confidentiality of exam materials
- Report any incidents or cause for concern
- Complete administrative tasks in accordance with established protocols
- Invigilate and supervise the apprentice during tests, and during any breaks to prevent malpractice in line with PAL's invigilation procedures

Reasonable Adjustments

Reasonable adjustments for tests will have been discussed at the pre-assessment meeting and agreed by the Quality team under the guidance of the Quality Manager. The invigilators will be informed of any apprentice reasonable adjustments agreed via PAL's EPA team, with specific instructions from the PAL quality team. Where specialist support is required, such as a scribe, PAL will agree arrangements, noting that this person cannot act as an invigilator, as well as a scribe.

PAL does make available an automated screen reader, for apprentices that require such an adjustment, however if the apprentice believes a 'human' reader will better serve them, PAL will make such provisions.

PAL's reasonable adjustments and special considerations policy and guidance document, provide the details of the provision for adapting any assessment interventions.

Identifying the Appropriate Venue

PAL is responsible for agreeing on suitable locations to facilitate test conditions and appropriate invigilation support for tests. The invigilator has a duty to check on the day of the examination (test), that the test location and area are suitable. Should an invigilator deem an environment unsuitable, this will be recorded as an incident and reported to end-point assessment support services in the first instance. This may result in a delay of testing.

If the employer or provider cannot provide a suitable environment in which the candidate/learner can sit the test, then alternative arrangements (in line with regulatory requirements and Safeguarding) should be made. It is recommended that if tests cannot be undertaken at the employer site, or provider premises they are taken at a suitable location where they can be appropriately invigilated, either in a face to face capacity or remotely.

Where the employer or provider is providing the premises then the premises must comply with PAL's invigilation requirements and as detailed in the relevant checklists and test conditions. Where testing is taken outside of provider or employer premises, PAL must be satisfied that the environment and conditions are suitable. **In all cases PAL reserves the right to refuse a test to go ahead, where the test conditions are not met, or the evidence provided, leads PAL to believe the test conditions are unsafe or unreliable.**

In respect of any assessment flexibilities or discretions granted by IfATE or relevant regulatory bodies, that concern testing and invigilation arrangements, PAL will apply and administer tests in accordance with such guidance.

Identification of an appropriate environment will also include health, safety, welfare, and safeguarding checks, as well as equipment checks and PAL will seek assurance that the apprentice cannot access any search functions or external assistance or materials to support their completion of the test, where tests are closed book tests.

Remote testing has become the preferred method of testing, however PAL will provide paper-based testing, where such a request is made and the apprentice/learner's needs will be better served using paper-based testing, PAL will make arrangements for such testing to take place.

Booking the Test

Where the employer site is the test location, test bookings and test times should be arranged with the apprentice and employer. Where a test centre is used, arrangements should be made with relevant personnel.

PAL advocate optimum test times are from 07.00 hours to 22.00 hours. If tests are booked outside of these times, information as to the need for 'out of hours' testing should be noted on the assessment planning record and confirmed with the PAL Quality Team.

Test dates and timings must be planned for and communicated to PAL through agreed communication channels. Any changes to test times or schedules need to be recorded using PAL's online scheduling system.

Test conditions onsite and remote (individual and group)

- The examination room/area must be in a suitably quiet and undisturbed location, with adequate heating, lighting, and ventilation
- Only Apprentices and persons required to administer the examination, as approved at planning, and confirmed by the provider and /or employer contact, should be allowed in the examination room before, during and after the examination
- Any display materials (like wall/flip charts or maps), which might be helpful to Apprentices, must be removed. A reliable clock must be visible to each learner in the examination room where they are using paper-based testing. For on-screen tests, the software includes access to a clock that informs the apprentice of test duration and time remaining
- A sign giving notice that an examination is in progress must be placed on all doors that allow access to the examination room - where remote testing is used, we will request that the apprentice demonstrates others have been advised of the test and appropriate notices and information are used and shared. PAL can provide such notices for the apprentice to print off. Remote invigilation pre-test checks will ask the apprentice to showcase the test area. If the apprentice does not have access to a printer to print off a notice, we will ask them to make a simple notice that states exam in progress, please do not disturb, with the time duration of the test noted
- A board/flipchart must be visible to all Apprentices to show the actual starting and finishing times of the examination, where invigilation is at a location, and for group and paper-based tests
- Seating must be arranged in such a way that it prevents Apprentices from seeing and possibly copying each other's answers. The minimum distance in all directions from centre to centre of Apprentices' chairs must be 1.20 metres (4 feet). Adapted for Covid, social distancing 2 metres (6 feet)
- Each Apprentice must have a separate desk or table of sufficient size to accommodate the examination paper and Apprentice answer sheet and should face the same direction. Additionally, all participants must be told of no access of technology websites, where tests are closed book. If the tests do allow for access to external sources, it must be agreed prior to the test what external resources can be legitimately deployed. Use of assistive technology must be agreed prior to the test being taken. Apprentices undertaking tests on an individual basis and /or remotely must have adequate seating and a suitable desk or table to work from

It should be noted that the majority of tests PAL expects are undertaken remotely and are on an individualised basis involving one apprentice and one invigilator.

Preparing the Apprentice for the Test

Apprentices and employers should be advised where the end-point assessment involves formal testing in examination conditions and apprentices be made aware of the types of resources, if any, they can bring to a test. The apprentice needs to be informed of the appropriate ID they are required to provide prior to taking the test and established protocols in terms of exam etiquette will be discussed.

Failure to produce appropriate identification will result in postponement of examinations. All parties will have received information regarding what are acceptable forms of ID.

Assessors should advise apprentices and employers of test duration at the assessment planning meeting and invigilators should reconfirm test times, prior to the test/examination starting.

The apprentice must be informed of the authenticity requirement and test/exam protocols at the assessment planning phase of the end-point assessment journey and made fully aware of the penalties for any contravention.

In agreeing to the assessment plan and schedule, the apprentice and employer agree to all of the required assessment conditions.

Pre-test Administration

Before the apprentice(s) can begin their assessment, the invigilator must:

- Ensure that unauthorised items, materials (paper-based and electronic), equipment, including mobile phones, smart watches cannot be accessed by the apprentice(s)
- Provide instructions for emergency procedures
- Provide instructions on what personal and other details should be completed by the apprentice
- Provide guidance on how to complete the assessment
- **Check that the apprentice has the correct assessment (test and test version, as appropriate) and names, DOB match the nominal roll - ideally this will have been checked prior to the testing day, but invigilators should confirm the accuracy of the information**
- For digital/online assessments request that the apprentice is happy with using the equipment and software and that equipment is working and internet access where required is working - such discussions will take place at the assessment planning meeting, but PAL also requires final checks take place, before test commencement
- Advise how to correct mistakes, change responses, and remind apprentice(s) to attempt all questions and check understanding - where applicable to explain the use of case studies; ensure apprentices know how to access all of the test requirements and be able to navigate on-line tests and point out any specific instructions and re-emphasise test times and checking of answers
- Provide guidance on malpractice and enquires and appeals
- Announce start and finish time for the test
- Inform apprentices about the circumstances, regarding leaving the room
- Direct apprentices to raise their hand if they require the invigilator's attention, this is appropriate for on-line and on-site assessment.

The checklist in Appendix 1 is used to prepare the test room and ensure rules and regulations are followed. The checklist in Appendix 2 details how to prepare the appropriate conditions for remote test invigilation.

Invigilators are trained to use prescriptive PAL scripts when invigilating tests and PAL expects all persons acting as an invigilator follow these scripts. Failure to follow such scripts may result in the suspension and sanctions policy being invoked for PAL personnel (employed and engaged).

For centre approved invigilators, the PAL sanctions policy will be fully enforced where there are any concerns regarding invigilation practices. Please note where PAL approves a centre to invigilate tests, the centre must complete and return an administration and invigilation of tests service level agreement and each invigilator must complete a conflict of interest declaration. PAL makes use of these arrangements, only in exceptional circumstances, typically PAL personnel undertake all forms of assessment and testing invigilation.

Invigilating the Test

It is the responsibility of PAL to make provision for independent invigilation in accordance with assessment plans. It is also the responsibility of PAL to apply any agreed assessment amendments where such amendments have been approved by relevant agencies. The following chart details the responsibilities of the invigilator during the test. This chart is supported by the checklists provided in Appendix 1 and Appendix 2.

| Exam room delivery and On-line remote invigilation | |
|--|--|
| The invigilator must be with an apprentice for the full duration of the test, performing this duty without interruption or distraction and can offer no support beyond test-taking instructions and time checks | |
| Where reasonable adjustments have been applied for and granted the invigilator is only permitted to make any modifications to the testing arrangements, as agreed with PAL | |
| No personnel should be allowed to access the test area, other than the invigilator, unless PAL has approved the use of a reader, or scribe or prompter. Reasonable adjustment protocols as outlined in PAL's guidance must be adhered to. Invigilators should ensure all communication is geared to facilitating the test, and is not leading or assisting the apprentice to complete test questions | |
| Invigilators must not offer advice or comment on the work of the apprentice or re-phase any questions | |
| Invigilators cannot act in any way as a prompter, reader, scribe, or any other support capacity for the apprentice for any test unless a particular need has been identified and reasonable adjustments applied for and authorised | |
| If an invigilator needs to leave the test area, for any reason, a second invigilator has to be available to regulate test conditions. At no time can an individual or group of apprentices be left on their own, without an invigilator, unless the use of approved remote invigilation testing and proctoring systems are used | |
| Malpractice must be reported to PAL via the declaration email and PAL will inform relevant parties as detailed in PAL's maladministration and malpractice policy | |
| Exam room | On-line |
| Invigilators must sit at the front of the test room with all apprentices in sight (if delivering on site) | Invigilators must ask the apprentice to pan their computer camera around the room to verify that they are on their own. Invigilators must be facing their camera, ensuring the apprentice is in sight and they can view the apprentice's screen. Both the apprentice and invigilator's cameras and sound must remain on. |
| Invigilators must check the room and that apprentices are okay, by keeping an eye out for hands raised (questions or toilet) | Invigilators must check the room and that apprentices are okay, by keeping an eye out for hands raised |
| If an apprentice needs to temporarily leave the room during a test (either due to sickness or to visit the toilet) they must be accompanied by authorised personnel, who must ensure they do not talk to anyone else, make a telephone call or talk to anyone else during that time. | The apprentice is not permitted to exit the test during the test timeframe - it is advised that the invigilator, stresses this point prior to the test commencing. |
| If an invigilator identifies malpractice, they must remove the apprentice from the test room, note the time of the removal and the reason. If unauthorised material has been used, the material must be retained by the invigilator. The invigilator must report incident in line with PAL's M&M policy and the Responsible Officer or Deputy Responsible Officer must be advised of the incident, as well as the EPA Managers, Quality team, who are also part of the regulation team | If an invigilator identifies malpractice, they must stop the test, note the time of the cessation and the reason. The invigilator must report incident in line with PAL's M&M policy and the Responsible Officer, or Deputy Responsible Officer must be advised of the incident, as well as the EPA Managers, Quality team, who are also part of the regulation team |

Exam room delivery and On-line remote invigilation

At the end of the test time, or when the apprentice has completed the test to their satisfaction, the invigilator must collect all scripts and responses and return in the fashion and timescale, agreed with PAL. Paper-based papers should use a tracking postal service. For on-line assessments, the invigilator should ensure that the tests have been closed out securely.

At the end of the test time, or when the apprentice has completed the test to their satisfaction, the invigilator must ensure the test has been appropriately closed out

Paper-based tests are typically invigilated by PAL personnel only. The quality manager or in their absence another member of the quality team or the EPA managers will advise concerned parties of arrangements for the sending out and return of paper-based tests, to include security arrangements. These arrangements will be confirmed with the apprentice and employer, and where applicable the provider, prior to the test.

Protocols for Remote Invigilation

Please see Appendix 3.

Late Arrivals of Apprentices

Apprentices who arrive up to 30 minutes after the timetabled start of the assessment may be allowed to enter the room to take the test, if the invigilation of any other apprentices taking the test is not compromised. The apprentice must be allowed to complete the examination within the allocated time. No additional time will be allocated. Invigilators should note the circumstances in the invigilation report and record it as an incident. Further information is available from PAL's quality team.

Leaving the Assessment Room or absence from the camera

Apprentices should not leave the examination room until **50% of the time has passed**. Apprentices sitting a test in a group environment should be instructed that this has the potential to disturb other apprentices and may result in subsequent enquiries and appeals of test results.

If an apprentice leaves the exam early, they must hand in their answer sheet, leave the test paper, (for paper-based tests) log off their laptop and/or computer. No apprentice will be readmitted under these circumstances.

In the case of remote invigilation, a pre-test check should advise the apprentice that the test/exam will be stopped and voided if they leave their device and are not visible to the invigilator, unless the departure is for health and safety reasons.

End of the Assessment

Before the end of the examination the invigilator should remind Apprentices of the time remaining. It is suggested that this warning should be given between fifteen and five minutes from the end of the assessment. Online testing software will advise apprentices of time remaining for their test.

At the end of paper-based examination invigilators must ensure that Apprentices have completed the necessary administration, to include where required signing answer sheets. The invigilator should remind the learner (apprentice) to check they have entered all the required personal identifier information.

For on-line tests, the invigilator should ensure the apprentice has closed out the test.

Misconduct/Irregularities

Should the invigilator observe an Apprentice or Apprentices referring to materials which could be of assistance in answering the examination questions or colluding with another apprentice he/she must be asked to stop. If the action by the apprentice(s) is considered serious enough the apprentice Answer Sheet(s) should be collected and the apprentice(s) instructed to leave, the test area in the case of paper-based testing. In the case of on-line testing the text will be stopped.

The invigilator must be guided by PAL's maladministration and malpractice policy and processes and inform the appropriate personnel of any test irregularities, who will update the relevant governance report and notify the RO or DRO, and in their absence, a member of the regulation team. Likewise, if the apprentice has any concerns about the conduct of an invigilator or scribe/reader etc., they should advise PAL using the appropriate email declaration addresses. These addresses are available from the EPASS or Quality team

Any incident that occurs during the assessment that might affect the apprentice's ability to complete the assessment must be recorded and PAL's quality team informed, so that the relevant PAL governance report can be updated, and special considerations applied if appropriate.

Invigilators must ensure they adhere to current data protection and GDPR legislation and assessment confidentiality protocols before, during and after the assessment activity.

Where it is found that the apprentice has cheated or the invigilator has intervened to influence the outcome, the test result will be rescinded, and the result given will be a fail. Where a test has been interrupted, but there is no indication of cheating or malpractice or maladministration, the test will be voided, and the apprentice will have the opportunity to take another test.

The testing process is also subject to quality assurance checks, and PAL can, as part of the sampling strategy, undertake spot checks on site, or observe remote testing sessions, in real-time or a review of test recordings and in some cases make follow-up calls to apprentices and or invigilators to review the testing process and general IQA of the invigilation process.

The Quality Manager has the right to authorise any quality assurance checks, and the Qualifications Director or Business Operations Director or another PAL Director in the absence of the QD and/or BOD can request investigations and/or reports as deemed necessary.

PAL will conduct a malpractice investigation in line with our policy and will utilise our suspension and sanctions policy for PAL individuals or our sanctions policy for non-PAL personnel.

All cases of suspected or proven malpractice will be communicated to the relevant regulatory body via the respective notification system. Any person from PAL assigned to the regulation team can report such an event, in the absence of the RO or DRO.

Emergencies - On-site and Paper-Based Testing

In the event of an emergency e.g., fire alarm, bomb warning etc., the invigilator must evacuate the examination accommodation in accordance with venue procedures.

Apprentices must leave examination papers and answer sheets on their desk/workstation in the room.

If the invigilator can assure PAL that the apprentice or apprentices have been closely supervised and that the integrity of the examination has not been compromised i.e., apprentices did not converse with each other or any other person, nor consult books or notes during the enforced break then the examination may be resumed, and the full remainder of the allocated time may be given.

All such incidents must be recorded and submitted to PAL and such events are recorded on the relevant governance log, by a member of the EPA Management or quality team.

Emergencies - On-line and Remote Assessment

For on-line and remote testing, in the event of an emergency, the invigilator should contact the PAL EPA Management team in such an event, and they will provide guidance as to what action to take. If the EPA team are not available, the invigilator should contact PAL's quality team.

If the security of the assessment has been compromised, the test must be stopped and the Invigilator will seek advice from the EPA management team, or in their absence the quality team to determine what action should be taken.

Equipment

The use of the following equipment is not permitted, except where specified in the assessment guidance and apprentice standard assessment plan, or when applying reasonable adjustments and only equipment as stipulated in PAL's reasonable adjustment and special considerations policy:

- Dictionaries (including electronic dictionaries)
- Calculators (unless specified for the exam) - in these instances, the invigilator should provide the calculators, or the use of an on-line calculator teamed with the relevant testing software deployed
- Additional books and papers (Apprentices may be provided with blank paper to make notes if required. Use of paper and pen is not permitted for remote testing)
- Computers/laptops (unless the apprentice is taking an invigilated online test)

Data Protection

Invigilators must follow current data protection and GDPR legislation, including any requirements laid down by the relevant regulators in maintaining security of assessment materials.

PAL will retain the Apprentice (candidate) Nominal Roll Form for three years.

Proctoring

Live proctored assessments are timed exams taken by a learner and monitored by purpose designed proctoring software. Proctoring software is designed to invigilate exams, detect irregular behaviour, and utilises asynchronous quality assurance monitoring.

Apprentices undertaking proctored assessment activities will be given guidance on accessing assessments using such a route. PAL will provide employers, apprentices, and providers with information regarding how activity is monitored.

At the current time PAL's remote invigilation, is normally undertaken in real-time by trained PAL assessors, or PAL approved invigilators of an employer or provider. **Such invigilation means the invigilator is present throughout the test and observes the apprentice throughout the test and has access to the apprentice's screen, through screen sharing.**

Quality Assurance

As part of PAL's commitment to quality assurance PAL reserves the right to undertake unannounced checks of examinations to observe invigilation practice. Unannounced checks work alongside planned checks and can be undertaken for site and remote assessments.

Unannounced checks are essential for maintaining and improving quality. They are carried out by a member of PAL quality team to ensure that all relevant procedures are being complied with and to prevent malpractice. Such checks will create the opportunity to comment on good practice and also identify areas for improvement.

Employers/Providers must provide the person carrying out the check, upon request, access to premises, people and records relating to learner/apprentice assessments, achievement, and internal quality assurance. Failure to allow access will be considered to be a breach of the employer service level contract and may stop future testing taking place at that site.

The frequency of unannounced checks will be determined by PAL' risk based approach to compliance. In any situation where PAL has concerns about the ability of a provider or employer site to meet the terms and conditions of their invigilation contracts² and declarations service level contracts, quality assurance requirements or financial

² Note PAL prefers test invigilation to be undertaken by PAL personnel, the use of third parties is subject to a range of checks and an additional set of agreements.

obligations then PAL will undertake an unannounced visit to determine the level of risk to the security of the test/examination assessment.

As PAL invigilators are typically PAL assessors, the assessor's risk ratings will determine the number of checks they may be subject to.

The Quality team will use their records of MCQ activities to determine their sampling and checks and such checks can include follow-ups with the apprentices to determine how the test was invigilated.

Quality assurance spot checks can be applied to onsite and remote testing.

Sanctions

Where the outcome of an unannounced checks or any checks, highlights concerns that may affect PAL ability to comply with Regulatory Conditions, PAL reserves the right to apply sanctions on PAL personnel using the PAL Suspension and Sanction policy. Where the behaviour of the invigilator could have led to an adverse effect or has led to an adverse effect, PAL will invoke its maladministration and malpractice policy and PAL's responsible officer or deputy responsible officer, or member of PAL's regulation team will report such an event to the appropriate regulator.

In cases of serious breach of non-compliance, for example proven maladministration or malpractice in relation to the security of its assessments, PAL will need to discuss with the concerned parties, including the invigilator what sanctions and actions can apply. In the case of PAL personnel disciplinary action, can be taken and possible dismissal from employment could be the outcome of the supporting investigations and recommendations from any malpractice committee. In the case of associates, the imposition of sanctions, as well as the termination of a service level agreement can be the outcome for proven serious violation of invigilation practices. .

Where actions could have led to a potential adverse effect, or have caused an adverse effect, PAL's responsible officer, or deputy responsible officer or member of PAL's regulation team will report the event to the appropriate regulator.

Where the concern is with an approved non-PAL invigilator or the location and environment of the testing area, PAL will discuss with concerned parties and sanctions will be imposed dependent on the level of non-compliance seen and in line with PAL's sanctions policy which is for apprentices, employers, and providers.

In cases of serious breach of non-compliance, for example in relation to the security of its assessments, PAL will need to discuss with the concerned employer and the main provider what actions and sanctions could apply. Where actions could have led to a potential adverse effect, or have caused an adverse effect, PAL's responsible officer, or deputy responsible officer or member of PAL's regulation team will report the event to the appropriate regulator.

PAL will work to protect the interests of apprentices, appropriate to the circumstances of the sanctions.

PAL as standard practice also samples test records produced by the invigilators and the quality team looks for any trends and anomalies with the administration of the tests, the test outcomes and any related records and the quality manager with the approval of the Business Operations Director and/or Qualifications Director will address any concerns through quality assurance actions and sanctions as required.

Regulatory references

PAL is required to establish and maintain compliance with regulatory conditions and criteria. This policy relates to Ofqual General Conditions of Recognition: Conflict of Interest-A4; Malpractice and Maladministration A8; Arrangements with third parties C1; Maintaining confidentiality of assessment materials G4; Arrangements for Reasonable Adjustments G6; Completion of assessment under the required conditions G8; Delivering the assessment G9.

Date Created: 6th June 2017

Last Review: 25th August 2023

Next Review: 25th August 2024

Person Responsible for review: Qualifications Director

This Policy has been agreed by Linda Martin, Managing Director



Appendix 1 – Face to Face Invigilation Checklist

| | | | |
|------------------------------|--|--|--|
| Apprentice(s) Name(s) | | Invigilator Name | |
| Date of Test | | ID Presented by the Apprentice(s) | |

TEST ROOM CHECKLIST

All examination venues must comply with the PAL requirements and Health and Safety legislation. Also, test arrangements must comply with the requirements of the Disability Discrimination Act.

One invigilator is permitted to invigilate a maximum of 20 apprentices.

| | |
|--|--------------------------|
| The physical condition of the examination room, general surroundings, and suitability | Check |
| Quiet environment with limited distractions. | <input type="checkbox"/> |
| A reliable clock/digital clock must be visible to apprentices at all times. | <input type="checkbox"/> |
| Due attention must be paid to such matters as heating, lighting, and ventilation. | <input type="checkbox"/> |
| Walls must be clear of any material that would provide help to apprentices. | <input type="checkbox"/> |
| Identify apprentice(s) to the invigilator – check ID (see PAL guidance). | <input type="checkbox"/> |
| Fire and emergencies | Check |
| In case of emergency, exit routes should be visible and communicated to the apprentice(s) and the invigilator. Employer to nominate a named person as a point of contact when tests are taken on the employer’s premises. In the case of a fire alarm, the test should be abandoned and recorded as an incident. | <input type="checkbox"/> |
| Fire exits should be unobstructed. | <input type="checkbox"/> |
| Safeguarding arrangements in place (refer to PAL’s Safeguarding Policy). | <input type="checkbox"/> |
| Before the test | Check |
| Apprentices should be seated with a minimum gap of 2 metres from the next apprentice’s chair where group invigilation is arranged | <input type="checkbox"/> |
| All desks or tables should face in the same direction. | <input type="checkbox"/> |
| Each apprentice should have a separate desk or table of a sufficient size to accommodate test papers, answer sheets or electrical device (laptop/desktop computer). | <input type="checkbox"/> |
| There must be a place for the invigilator(s) to sit in full view of the apprentice(s). | <input type="checkbox"/> |
| Apprentices’ property should be stored elsewhere in the room where they do not have access to it, e.g., handbags, internet devices, telephones, and notebooks. | <input type="checkbox"/> |
| An ‘exam in progress’ sign must be placed so this is clearly visible. | <input type="checkbox"/> |

| | |
|---|--------------------------|
| Make sure that apprentices are familiar with the test instructions, procedures, and regulations, particularly how to navigate and respond to on-screen tests. | <input type="checkbox"/> |
| Check that the apprentices know how to request technical assistance if required. | <input type="checkbox"/> |
| Advise the apprentice(s) that if they need to leave the room, they will need to be accompanied and the test suspended. (For group testing, unless there are two invigilators, apprentices will not be permitted to leave the room until all tests have been completed). | <input type="checkbox"/> |
| Unless specified, no resource materials are permitted; this includes access to the internet. Smartphones, smart watches, and land line telephones should be switched off or set to airplane mode for the duration of the test. Internet enabled devices should be handed to the invigilator or placed securely outside of the testing area. Tests taken on laptops or computers will have restricted settings ensuring that access to the internet or any documents stored on the device cannot be opened whilst the test is in progress. | <input type="checkbox"/> |
| During the test | Check |
| Be vigilant. Supervise the apprentice(s) at all times, including during any planned or unplanned breaks to prevent cheating and distractions. | <input type="checkbox"/> |
| Do not give any information to apprentices about a specific question or the requirements for answering particular questions. | <input type="checkbox"/> |
| Record and report all emergencies, incidents, and technical failures to PAL as soon as possible. | <input type="checkbox"/> |
| After the test | Check |
| Supervise the conclusion of the test, ensuring that apprentices' responses are saved and secured from unauthorised access. | <input type="checkbox"/> |

Appendix 2 - Remote Invigilation Checklist

| | | | |
|------------------------|--|-------------------------|--|
| Apprentice Name | | Invigilator Name | |
| Date of Test | | ID Type | |

Prior to the test, using the nominal roll/attendance form and planning meeting record, the invigilator must check the details of the examination including time, date, apprentice name and standard and specialism (where applicable) for accuracy and any reasonable adjustments arrangements if applicable.

Invigilator to check that webinar links are available to all parties.

This checklist is to be used in conjunction with the PAL remote tests protocols.

| Before the Test | Check |
|---|--------------------------|
| Ensure that the test environment is quiet with no distractions. A sweep of the test room is undertaken to confirm environment is suitable with no unauthorised resources or materials available to the apprentice. Walls must be clear of any material that would provide help to apprentice. | <input type="checkbox"/> |
| Ensure the apprentice shows their mobile device/tablet/watch on-screen, turns off the device(s) and places away from the test area/outside of the test area. Confirm that the apprentice's property is stored elsewhere in the room where they do not have access to it, e.g., handbags, internet devices, telephones, notebooks, pen, or paper. | <input type="checkbox"/> |
| Confirm with the apprentice that in the case of an emergency or fire they must inform the invigilator who will stop the test. | <input type="checkbox"/> |
| Access the electronic nominal roll/invigilation document for the apprentice. | <input type="checkbox"/> |
| Confirm the apprentice's identity prior to any recording using the PAL ID requirements. Confirm the apprentice ID type on nominal roll/invigilation document. | <input type="checkbox"/> |
| Ensure that a 'test in progress' sign is displayed. Confirm the apprentice has informed others that once the test is in progress they cannot be disturbed. | <input type="checkbox"/> |
| Ensure that the equipment is working to ensure that the apprentice can be seen at all times during the test as per remote invigilation protocols, to include suitable lighting and that the apprentice must remain looking at the screen for the test duration. No headsets/headphones can be worn. | <input type="checkbox"/> |
| Confirm that the apprentice is not permitted to use a dictionary unless a reasonable adjustment has been previously approved. | <input type="checkbox"/> |
| Practice test to be completed – this will also identify any pop up or screen share issues prior to the live test, and that there are no open tabs/notifications on the screen. Ensure that the apprentice is familiar with the test instructions, procedures, and regulations, particularly how to navigate and respond to on-screen tests. <i>(For VISTAR tests ensure the apprentice is familiar with the drop down sign to be able to access</i> | <input type="checkbox"/> |

| Before the Test | Check |
|---|--------------------------|
| <i>scenarios).</i> | |
| Advise the apprentice that they are unable to leave the room once the test has started. | <input type="checkbox"/> |
| Advise the apprentice that they must now follow the test regulations and that test conditions include room environment and steps to minimise disruptions. | <input type="checkbox"/> |
| Protocols for the remote invigilation to be confirmed with the apprentice off recording. | <input type="checkbox"/> |

| BEGIN THE RECORDING | Check |
|---|--------------------------|
| Invigilator to introduce themselves. | <input type="checkbox"/> |
| <p>The invigilator must read the following statements to the apprentice prior to the test taking place – the apprentice should confirm their acceptance of each statement in turn:</p> <p>“The test you are about to complete is a formal test and, as such, test rules apply. Before you begin the test, can you please confirm the following:</p> | |
| <ul style="list-style-type: none"> Your name, today’s date, and the name of your apprenticeship. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> You give permission for the test to be recorded and the recording saved for 6 years, and you have provided a valid form of ID which I (the invigilator) have checked. Please confirm the type of ID you have provided (<i>apprentice to state ID type</i>). | <input type="checkbox"/> |
| <ul style="list-style-type: none"> You have placed a sign confirming that there is an ‘test in progress’ on the door and that colleagues/managers/household members are aware that you are taking a test. You are not aware of any fire alarm testing scheduled for the duration of the test. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> You do not have any access to books, notes, pen and paper or any other prohibited materials for test. You must not access other tablets or electronic devices during the test. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> A sweep of the area with the camera has been carried out by the invigilator to confirm there are no unauthorised materials available to you. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> You have turned off notifications on your device and any other mobile device/tablet/watch is on silent/switched off and out of reach. Your device is connected to the mains or has sufficient battery to last for the duration of the test. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> You must stay in eyesight of the invigilator and your web cam during the test. You must always face forward. Do not look away from the screen or look down. You are not able to leave the room during the test. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> I (the invigilator) can only assist you for technical assistance, if required. If I suspect external influence within the room, or that you (the apprentice) have not complied with test protocols at any stage the test should be stopped/abandoned, with an explanation as to why the test has been halted. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> Once you have finished answering the test questions, please verbally notify me. I will ask you if you wish to review your answers before exiting the test if time permits.” | <input type="checkbox"/> |
| <p>Once the statements have been read and agreed the test can commence. Apprentice can minimise the invigilator’s image on their screen.</p> | |

| During the Test | Check |
|---|--------------------------|
| Keep the cameras and sound on for the duration for both the apprentice and the invigilator. | <input type="checkbox"/> |

| During the Test | Check |
|---|--------------------------|
| Be vigilant. Supervise the apprentice at all times. <i>If the apprentice breaches the agreed protocols, you must advise them of the breach. Refer to PAL protocols for Remote Tests for the steps to take.</i> | <input type="checkbox"/> |
| Do not give any information to the apprentice about a specific question or the requirements for answering particular questions. | <input type="checkbox"/> |
| Record and report all emergencies, incidents, and technical failures to PAL as soon as possible. | <input type="checkbox"/> |
| At the end of the test the invigilator to confirm with the apprentice that they can review their answers should they wish (if time permits). | <input type="checkbox"/> |

| After the Test | Check |
|---|--------------------------|
| Apprentice to save and confirm answers, test software to be closed. | <input type="checkbox"/> |
| Once the test has been completed and submitted the invigilator must ask the apprentice to confirm that the test was taken under suitable conditions, and they received no help. | <input type="checkbox"/> |
| The apprentice must be sign posted to the PAL Appeals and Complaints policy on the PAL website. | <input type="checkbox"/> |
| <i>The next statement only applies to standards where the knowledge test must be passed before the apprentice can continue with the other methods of assessment:</i> The apprentice should be informed that only fail grades will be shared formally via an email from EPASS. | <input type="checkbox"/> |
| The apprentice should be notified that a PAL Quality Assurer may contact them for feedback about the test process at a later time/date. | <input type="checkbox"/> |
| STOP THE RECORDING | |
| Invigilator to sign and date the nominal roll to confirm the test conditions – this can be completed electronically and added to EPAPro file. | <input type="checkbox"/> |
| Recording to be saved and labelled in accordance with the naming conventions, added to the apprentice drive file for Quality Assurance checks. | <input type="checkbox"/> |

No further discussion about the content of the test can take place.

The next assessment date should be confirmed if applicable.

Appendix 3 - Protocols for Remote Assessment

To ensure that apprentices have the fairest opportunity in test assessment, the invigilator has the responsibility to create an environment of professionalism and mutual respect, as well as to put the apprentice at ease and ensure they have every opportunity to showcase their talent and knowledge.

Where tests are completed remotely over a video call, the usual assessment protocols still apply.

Invigilators must refer to the PAL Invigilation Policy, which applies for all methods of test. They may also be required to refer to PALs Special Considerations and Reasonable Adjustment policies and procedures.

Incidents, for example, an IT failure or a disruption, must be reported by the invigilator to the IQA team and documented on an Incident form.

In the event of any technical failure, this must be recorded and if unsuccessfully restarted then the test abandoned and rescheduled.

Live IQA of tests may take place. Webinar links must be documented on calendar appointments.

Invigilators must ensure that they follow the processes outlined below, in addition to usual assessment protocols and introductions for an assessment:

The purpose of an invigilator is to:

- Ensure that all apprentices have an equal opportunity to demonstrate their abilities including the application of reasonable adjustments.
- Ensure the security of the test materials before, during and after the test.
- Prevent possible malpractice/maladministration.
- Prevent possible administrative failures.

As an Invigilator, please ensure to follow the processes outlined below, in addition to following our invigilation policy and that of any supplier awarding organisation/EPAO commission's tests from.

The test can be taken via two methods:

1. The apprentice has the test on their computer, and they share their screen with the invigilator during the test. The apprentice inputs their own answers, the invigilator invigilates the process.
2. The invigilator has the test on their computer, and they share their screen with the apprentice during the test. The apprentice tells the invigilator their answer choice and the invigilator inputs these into the test for them.

Test Protocols

- The test will be recorded for the full duration, (practice tests and ID checks are not required to be recorded) stored safely in the Apprentice's folder and deleted from any device once uploaded³.
- Invigilator must request and gain the apprentice's permission to record the test and save the recording for 6 years. If the apprentice will not provide such permission for a recording, alternative test arrangements will be applied, this may necessitate the pausing of an assessment.
- Cameras and sound must be on for the duration of the test for the apprentice AND the invigilator. The invigilator must ensure that they are behaving professionally for the duration of the test and do not make any actions that could potentially distract the apprentice.
- Apprentices are not allowed pen/paper to make notes, or to have any other notes or materials to refer to.

³ You must NEVER delete the records on a drive network

- Apprentices must be informed that they must remain within full camera view/eyesight of the invigilator at all times. They should not look away from the screen or look down during the test as this may result in the test being failed.
- There must be appropriate lighting to allow the apprentice to be fully seen without shadows.
- Prior to the test starting the invigilator will carry out a sweep of the area with the camera to confirm there are no unauthorised materials available to the apprentice.
- Valid ID must be presented to the invigilator prior to the test and confirmed on the recording by the apprentice. The recording will be switched off for this element of the recording to cover GDPR requirements and ensure protection of the apprentice's identity. Invigilators are also minded of Safeguarding and under no circumstances need to keep a personal record of any apprentice's data.
- The invigilator cannot read the questions to the apprentice, unless there is a requirement for reasonable adjustments which has been authorised and a reader is present.
- If sharing their screen, the apprentice and invigilator must close all tabs on their computers so there is no distraction for the apprentice. Screen notifications should be turned off.
- The invigilator will ensure that an 'exam in progress' sign is displayed.
- If the invigilator suspects external influence at any stage within the room the test should be stopped/abandoned, with an explanation as to why the test has been halted. Such an event must be reported and recorded in line with PAL's maladministration and malpractice policy. Apprentices should also be advised of PAL's appeals and enquiry policy and complaints policy.
- In the event of any technical failure, this must be recorded and if unsuccessfully restarted then the test abandoned and rescheduled.
- Complete the practice assessment with the apprentice to ensure that the technology being used can host the exam and reduce any issues with pop ups and screen sharing within the live test.
- Once the checklist has been completed and the apprentice is ready to undertake the live exam begin the recording and confirm the statement with the apprentice.

Prior to the test, using the nominal roll and planning meeting record, the invigilator must check the details of the test including time, date, apprentice name and standard and specialism (where applicable) for accuracy and any reasonable adjustments arrangements if applicable.

Invigilator to check that webinar links are available to all parties and to complete the 'before the test' section of the PAL Remote Tests Checklist in full with the apprentice (*PAL policy document 17a*).

Once the test has been completed and submitted the invigilator must ask the apprentice to confirm that the test was taken under suitable conditions, and they received no help.

The apprentice must be sign posted to the PAL Enquires and Appeals and Complaints policies on the PAL website.

Following the test, the apprentice should be informed that only fail grades will be shared formally via an email from EPASS. (This only applies to standards where the knowledge test must be passed before the apprentice can continue with the other methods of assessment)

The apprentice should be notified that a member of the PAL Quality Team may contact them for feedback about the test process at a later time/date.

No further discussion about the content of the test can take place.

The next assessment date should be confirmed if applicable.

Appendix 4 - Signs

Sign should be posted outside the assessment room, and if this is not possible apprentice should receive a copy or be advised by the invigilator of the no mobile devices poster and confirm their understanding.

No Mobile Devices Poster



NO MOBILE DEVICE/TABLE/SMART WATCH

NO POTENTIAL TECHNOLOGICAL/WEB ENABLED SOURCES OF INFORMATION

Possession of unauthorised items, such as a mobile phone, is a serious offence and could result in DISQUALIFICATION from your assessment and your overall qualification.

This poster must be displayed in a prominent place outside each assessment room for onsite assessments.

For remote assessments the invigilator can share the poster or advise the apprentice of the requirements and penalties for non-compliance.

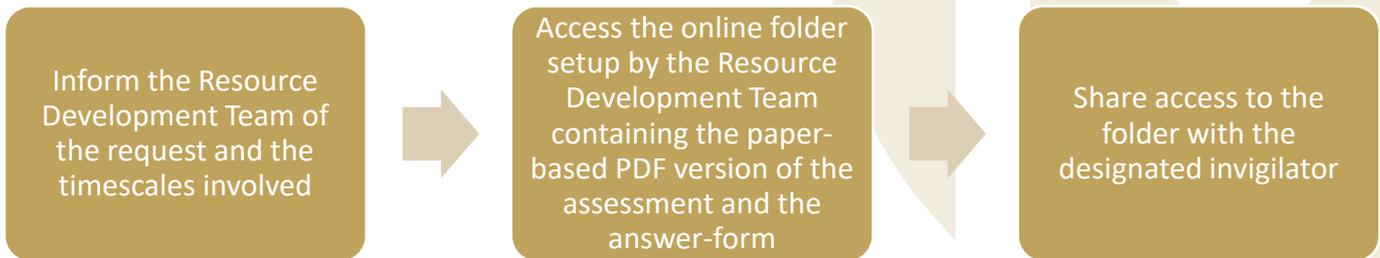


QUIET

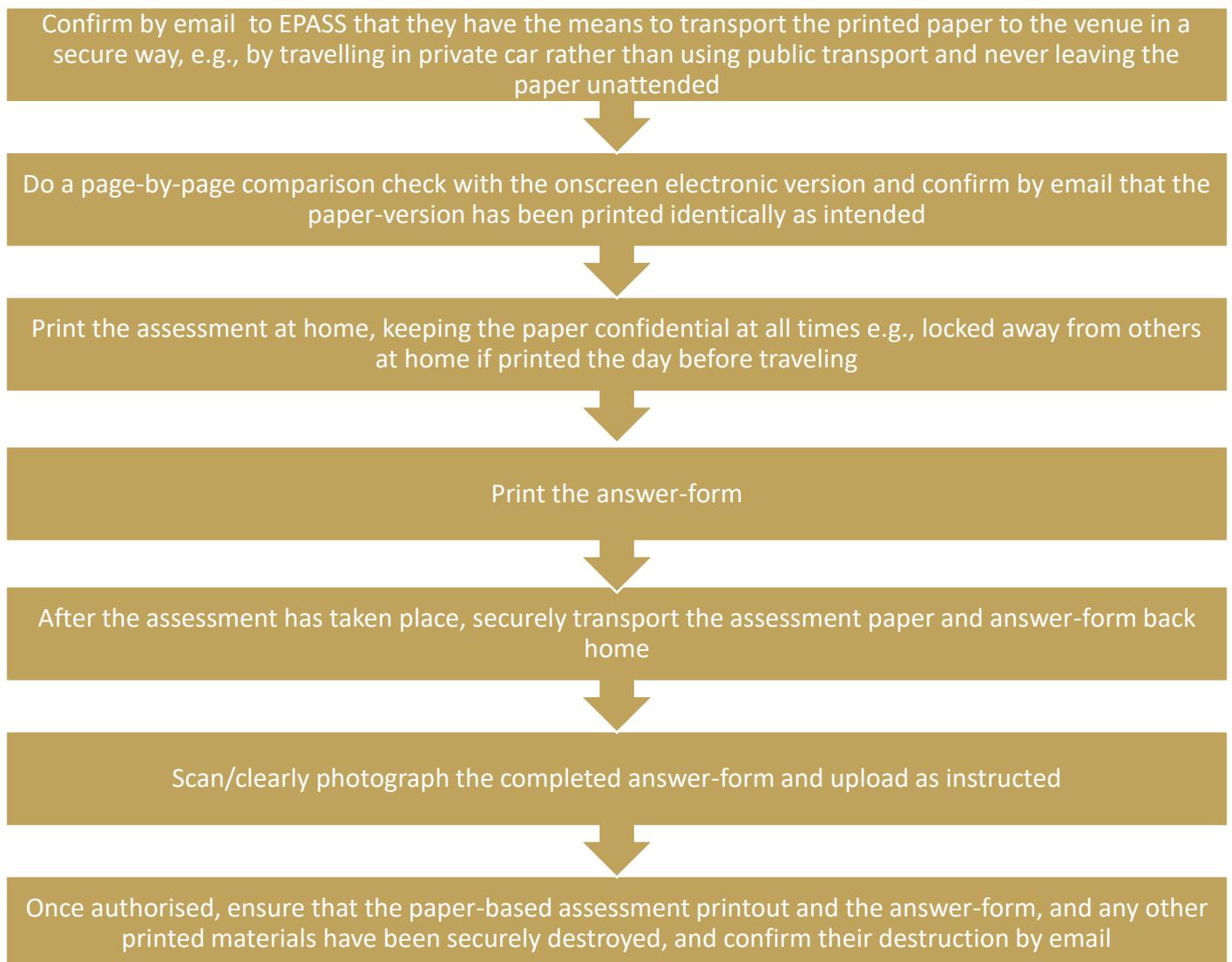
Assessment in progress

Appendix 5 – Cirrus Paper-Based Test Procedure

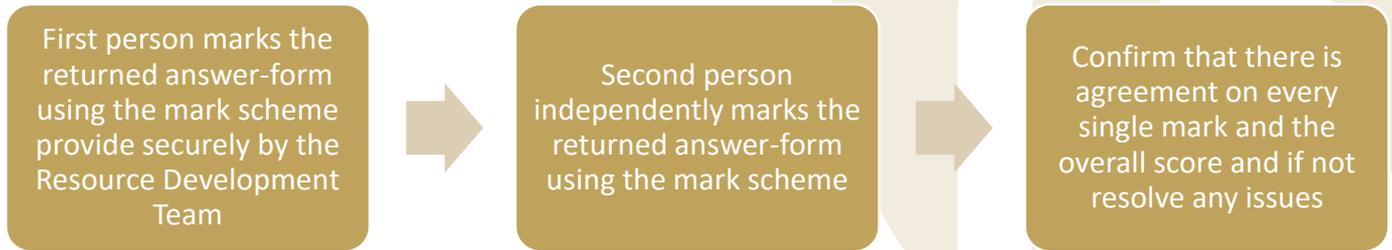
EPA Pre-Test Administration



Invigilator



Marking



Storage of Records

Store the electronic version of the answer-form appropriately for any later enquiry or appeal purposes.

Instruct the invigilator to securely destroy the paper-based assessment printout, the answer-form, and any other materials.